

EXHIBIT “4”

1 FINANCIAL INDUSTRY REGULATORY AUTHORITY
2 (FINRA) DEPARTMENT OF JUSTICE TAX DIVISION

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4 In the Matter of:

5 MOSHE LAX, et al., Matter Number:

6 Testimony of: 1:18-CV-04061

7 STEVEN FINKELSTEIN

8 - - - - -x

9 Witness: Via Zoom - New York

Reporter: Via Zoom - New York

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May 3, 2021

11 2:27 p.m. (EST)

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Job No. CS4551022

24 Stenographer: Garry J. Torres

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* * *

1 which we did and we were successful.

2 Thereafter, we were substituted
3 in as attorneys of record in a pending
4 probate, and then we were -- at the same
5 time we were retained to do the estate tax
6 return because the firm that had been
7 working on the matter either -- I'm not
8 sure if they were discharged or if they
9 voluntarily withdrew.

10 Q. Okay. So just to summarize,
11 Finkelstein & Virga was involved in
12 defending against a petition to remove a
13 executor, it was also involved in the
14 general probate case and involved in
15 preparing a form 706 --

16 A. I'm not sure -- I'm sorry. I --

17 Q. There is a second topic that you
18 mentioned after you talked about defending
19 against the petition to remove. What was
20 the involvement with the surrogate's court
21 case?

22 A. So everything surrogate's court
23 is a separate proceeding. Special
24 proceedings under Article 4. So the
25 probate proceeding is a separate